



## Supplier Code of Conduct

Trinity Health is committed to complying with all laws and regulations that apply to our health care ministry and operating in a manner consistent with the highest professional and ethical standards. As a Trinity Health supplier<sup>1</sup>, you play an integral role in helping us achieve these goals. We created this Supplier Code of Conduct to communicate the minimum standards by which all Trinity Health suppliers are expected to conduct themselves when providing goods or services to our system. Please note Trinity Health organizations or departments may establish guidelines that are more restrictive than those described in this document. It is your responsibility to share this Supplier Code of Conduct with all personnel who may be engaged in conducting business activities with a Trinity Health organization.

**Respectful Behaviors and Relationships** – All suppliers are expected to treat those they work with in Trinity Health with honesty, dignity and respect. This includes maintaining a positive and courteous customer service orientation, speaking professionally and respectfully, and responding to requests for information or assistance in a timely manner.

**Essential Services and Business Continuity** – If a supplier's services are deemed vital to Trinity Health's ability to provide medical and other health care services to patients and customers of Trinity Health, supplier must agree to develop, test and implement business continuity and disaster recovery plans. Suppliers are also expected to implement adequate security safeguards to prevent cybersecurity interruptions.

**Gifts** – Trinity Health recognizes the cost of gifts, including meals, entertainment, and social activities provided by suppliers is ultimately borne in the cost of goods and services we purchase. Consistent with our mission to be faithful stewards of our resources, Trinity Health discourages suppliers from providing any gifts or other items of value to our colleagues, physicians or contractors working in Trinity Health facilities (“Trinity Health Personnel”). The following items are never acceptable:

- Gifts given to Trinity Health Personnel for the purpose of influencing a purchasing and contracting decision;
- Gifts that reasonably could be perceived as a bribe, payoff, deal, or any other attempt to gain a competitive advantage;
- Cash or items redeemable for cash such as checks, gift cards, stocks, etc.;
- Gifts to or from government representatives;
- Gifts or other incentives given for the purpose of encouraging or rewarding patient referrals;
- Gifts that may violate a law or regulation.

---

<sup>1</sup> The term "Supplier" is used herein to refer to all vendors, independent contractors, agents, and other business partners providing goods or services to Trinity Health organizations.

The above requirements do not apply to meals and refreshments provided in connection with a conference or other educational program sponsored by a supplier for the benefit of all attendees.

**Sponsored Events** – Trinity Health colleagues may attend supplier sponsored local or out-of-town programs, workshops, seminars and conferences that have a legitimate educational purpose or otherwise support a Trinity Health business objective (e.g. product training) provided such events are infrequent (i.e. no more than once annually) and Trinity Health, not the supplier, pays for any related travel and overnight lodging costs.

**Fundraising** – As a tax-exempt, charitable organization, Trinity Health may solicit charitable contributions to support our health care ministries. Only Trinity Health foundations or specific departments responsible for fundraising activities may solicit such gifts. Trinity Health colleagues with responsibilities for ongoing business relationships with suppliers, including the negotiation or selection of suppliers, are prohibited from solicitation and fund-raising activities with suppliers. **Other than legitimate fund-raising activities as described above, Trinity Health colleagues are not allowed to solicit gifts, entertainment or meals from suppliers at any time.** Suppliers who encounter situations where Trinity Health colleagues are in violation of this policy are expected to **contact the Trinity Health Integrity & Compliance Line at 866-477-4661.**

**Conflicts of Interest** – Conflicts of interest, in which a Trinity Health board member, medical staff, or colleagues' relationship (e.g., employment, investment or other connection) with a supplier conflicts, or could appear to conflict, with Trinity Health's business interests, must be disclosed. Trinity Health does not permit persons with conflicts of interests to make purchasing decisions. In addition, Trinity Health colleagues are not permitted to work for a supplier if Trinity Health is a customer of the supplier. We expect our suppliers to bring any actual, potential, or perceived conflicts of interest to the attention of a Trinity Health high-level representative (other than the person who has a relationship with the supplier) in a timely manner.

**Compliance with Laws** – Suppliers are required to conduct their business activities in compliance with all applicable laws and regulations, including laws applicable to individuals and entities directly or indirectly receiving Medicare, including Parts A, B, C and D, Medicaid and other federal funds.

**Privacy and Security** – Federal and state laws require Trinity Health and our suppliers to maintain the privacy and security of Trinity Health protected health information (PHI). Suppliers are responsible for ensuring all supplier personnel who provide services to Trinity Health are aware of and familiar with the requirements of both the Health Insurance Portability and Accountability Act (HIPAA) Privacy and Security Rules and, where applicable, those state laws that provide more stringent protection of PHI. Suppliers are also responsible for ensuring all supplier personnel who provide services to network connected devices receive role-appropriate periodic training and assessments (at least annually) on cybersecurity. In addition, the supplier is responsible to ensure all reasonable and customary industry accepted actions are taken to ensure their respective devices are protected and malware free prior to installation and or use. If a supplier's business relationship with Trinity Health will require access to or usage of PHI, the supplier will be required to sign a Business Associate Agreement with us.

**Infection Control Policies** – Supplier personnel whose activities require access to direct patient care environments are required to adhere to Trinity Health infection control policies applicable to the organizations visited.

**Eligibility to Participate in Federal and State Health Care Programs** – Trinity Health will not conduct business with any supplier (or subcontractor to a supplier) excluded, debarred, or ineligible to participate in

federal or state health care programs such as Medicare and Medicaid, or whose officers, directors or employees are excluded from participating in federal or state health care programs. Suppliers are responsible for taking all necessary steps to ensure supplier and supplier subcontractor personnel providing goods and services to Trinity Health, directly or indirectly, are eligible to participate in federal and state health care programs, including conducting periodic checks of the Office of Inspector General's List of Excluded Individuals/Entities (LEIE) and General Services Administration's System for Award Management (SAM) databases.

**Fraud, Waste and Abuse (FWA)** – Trinity Health will promptly investigate any reports of alleged violations of law, regulations or Trinity Health policies involving a supplier or a supplier's personnel, including allegations of FWA involving federal or state health care programs. Suppliers are expected to fully cooperate in such investigations and, where appropriate, in taking corrective actions in response to confirmed violations. The Federal False Claims Act and similar state laws make it a crime to present a false claim to the government for payment. These laws also protect “whistleblowers” – people who report noncompliance or fraud, or who assist in investigations, from retaliation. Trinity Health policy prohibits retaliation of any kind against individuals exercising their rights under the Federal False Claims Act or similar state laws.

**Deficit Reduction Act of 2005 (DRA) Requirements** – The DRA requires Trinity Health to provide detailed information to its employees, contractors and agents regarding the Federal False Claims Act and applicable state false claims laws. Suppliers are responsible for reviewing the False Claims Act Information section of the Trinity Health Code of Conduct available at <http://www.trinity-health.org/documents/codeofconduct.pdf> and for sharing this information with your employees conducting business with Trinity Health.

**Environmental Purchasing Policy** – Trinity Health is committed to purchasing goods and services whose environmental impacts are healthier for the environment and human health. Trinity Health expects suppliers to develop price competitive, environmentally sound, and safe goods and services that help us achieve these objectives.

**Supplier Diversity Program** – Trinity Health has a long tradition of support for programs that foster diversity in our organization, and in our communities. Where applicable, Trinity Health expects its suppliers to mirror our commitment, through subcontracting opportunities with diverse businesses and providing information to Trinity Health on supplier diversity when requested.

**Visitor Policy** – When visiting Trinity Health facilities, suppliers must comply with applicable Trinity Health' visitor policy, including but not limited to, infection control policies. Supplier representatives are required to schedule appointments and must register prior to visiting any Trinity Health medical facility. Representatives will be required to state the area to be visited, and visits must be restricted to those location(s) only. Visitor badges provided by the facility must be worn at all times.

**Product Samples** – With the exception of drug samples provided to a physician office or clinic, supplier product samples may not be provided without the advance review and approval of Trinity Health Supply Chain Management.

**Publicity** – Suppliers are not permitted to distribute advertising, press releases, or any other general public announcement regarding its products or services to Trinity Health facilities unless you have obtained prior written authorization from an authorized Trinity Health management employee.

**Business Record Retention** – Trinity Health requires suppliers to retain and make available records related to business with Trinity Health in accordance with applicable law, regulation, and contract requirements, Trinity Health also requires suppliers to retain and make available known cybersecurity vulnerabilities, as well as, mitigations for devices purchased from supplier.

**Government Contractor Requirements** – Trinity Health is not a federal government contractor; however, some of our individual affiliates may be federal government contractors. For those Trinity Health affiliates that are federal government contractors, supplier acknowledges the clauses regarding equal employment opportunity and affirmative action contained in 41 CFR 60-1.4(a), 41 CFR 60-300.5(a), and 41 CFR 60-741.5(a) shall apply. These regulations prohibit discrimination against all individuals based on their race, color, religion, sex, or national origin. Moreover, these regulations require covered federal government contractors and subcontractors take affirmative action to employ and advance in employment individuals without regard to race, color, religion, sex, national origin, protected veteran status, or disability.

**Physician Owned Distributorships** – Trinity Health will not purchase or enter into agreements for the purchase of products or supplies, including, but not limited to pharmaceuticals, implants, instruments and other medical devices, from Physician-Owned Distributorships or similar entities that maintain ownership or investment interests held by physicians and/or immediate family members of physicians on the medical staff of a Trinity Health organization. Suppliers are required to disclose to Trinity Health any such ownership or investment interests in their companies.

**Resources** – For more information on Trinity Health’s policies, visit Trinity Health’s Supply Chain Management web site at <http://www.trinity-health.org/supply-chain-management>.

**Trinity Health Code of Conduct and Integrity & Compliance Line** – The Trinity Health Code of Conduct describes actions and behaviors expected of all Trinity Health Personnel and all who work in Trinity Health. The Code of Conduct is available at <http://www.trinity-health.org/documents/codeofconduct.pdf>. Suppliers may use the Integrity & Compliance Line to report any actual or suspected violations of the Code of Conduct including FWA matters, safety concerns, or other matters on an anonymous basis without fear of retaliation. The Integrity & Compliance Line is available 24 hours a day, 365 days a year at **866-477-4661**. Suppliers may also file reports online at [www.mycompliancereport.com](http://www.mycompliancereport.com). When prompted for an access ID, please use THO to designate Trinity Health.

**Medicare Managed Care Obligations Applicable to Suppliers** - Trinity Health contracts with health plans to provide healthcare, prescription drug, and/or administrative services to Medicare eligible individuals reimbursed through Medicare Parts C and D plan sponsors. The Centers for Medicare & Medicaid Services (“CMS”) requires Trinity Health and other First Tier, Downstream, and Related Entities ("FDRs") contracting with Medicare Parts C and D health plans to comply with certain CMS' compliance program requirements applicable to plan sponsors. These requirements extend to Trinity Health suppliers engaged in one or more of the following activities on behalf of Trinity Health:

- Suppliers providing health care services to Medicare eligible individuals;
- Suppliers providing administrative services relating to Medicare program activities, including claims processing, patient management, and credentialing.

Trinity Health suppliers engaged in performing services reimbursed, in whole or in part, by the Medicare program are required to:

- Maintain a code of conduct and Medicare compliance policies and provide to all supplier and supplier subcontractor employees;
- Provide FWA training and general compliance training to supplier employees and subcontractors. See *Fraud, Waste and Abuse (FWA)* herein for more information;
- Screen all employees and subcontractors for eligibility to participate in federally funded healthcare programs. See *Eligibility to Participate in Federal and State Health Care Programs* herein for more information;
- Receive and respond to supplier reports from employees and subcontractors of suspected or detected non-compliance or potential FWA;
- Obtain Trinity Health approval prior to conducting any offshoring activities by supplier, its employees or subcontractors including receipt, processing, transferring, handling, storing or accessing of Protected Health Information (“PHI”) involving Medicare eligible members from outside the United States and its territories;
- Maintain operational oversight of supplier employees and subcontractors to ensure compliance with applicable laws, rules, and regulations, including Medicare, Medicaid and other government funded health care program regulations; and
- Maintain documentation supporting supplier’s compliance program and all records pertaining to supplier’s business relationships with Trinity Health for a period of not less than ten (10) years.

As a component of the operational oversight required by Medicare, Trinity Health reserves the right to audit and/or monitor supplier's compliance with Medicare managed care requirements at any time upon seven (7) days' notice.